COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

This instruction implements AFPD 90-9, *Operational Risk Management*, and AFI 90-901, *Operational Risk Management*, which establish the requirements to integrate and sustain the operational risk management (ORM) program. This instruction establishes requirements for implementing an ORM program throughout US Air Forces in Europe (USAFE) area of responsibility (AOR). It assigns responsibilities for program elements and contains program management information. USAFE Numbered Air Forces (NAF) and subordinate units are responsible for establishing and sustaining their respective programs according to the program elements described in this instruction and AFI 90-901. This USAFE Command Instruction (USAFECI) applies to the USAFE Headquarters and to all NAFs, wings, Field Operating Agencies (FOA), and Direct Reporting Units (DRU). It may be supplemented as needed to support local ORM programs.

Section A—ORM Process Description

1. Definition and Scope. Operational risk management is an Air Force philosophy aimed directly at increasing mission effectiveness through the proactive identification and mitigation of risks. Further, ORM allows the commander or supervisor to make informed decisions prior to increasing the risk to personnel, equipment, the environment, or other resources. ORM fits mission accomplishment well since it allows leaders to identify hazards and risks prior to performance of a mission or task. By identifying the risks up front, personnel are given the opportunity to fully implement control measures (education & training, policies, or procedures) designed to limit exposure to risk. USAFE has been successful at pushing the mishap rate down through an engaged education program coupled with sound policies. However, we must not become satisfied with our successes. To maintain our efficiency, we must continue our traditional efforts while enhancing our combat capabilities, increasing our mission effectiveness at all levels, while preserving our vital assets, and ensuring the welfare of Air Force personnel and equipment. ORM helps us accomplish this task. ORM techniques add rigor to the traditional approach to mission accomplishment, thereby directly strengthening our mission effectiveness at all levels, while preserving assets and safeguarding health and welfare.

2. Mission. To enhance mission effectiveness through the proper application of risk management at all levels of command.

3. Vision. Develop a culture where all assigned personnel, active duty, Department of Defense (DoD) civilians, and local nationals are trained and equipped to apply risk management principles on-duty, during peacetime and conflict, to eliminate mishaps and their associated costs. All personnel are highly encouraged to utilize ORM off-duty as well.

4. USAFE ORM Program Guidelines. All USAFE functional areas should follow these basic concepts for integrating ORM:

4.1. Comprise a comprehensive system for improving individual and organizational performance in all operations.

4.2. Be tailored to meet the unique mission needs and operational requirements of each organization.

4.3. Provide the process and tools to develop and enhance awareness and understanding of at-risk activities and behavior of personnel, both on- and off-duty.

4.4. Ensure the application of ORM process identifies those areas where regulatory guidance is overly restrictive or otherwise not consistent with mission requirements. In this event, the risk assessment may be used to support requests for appropriate level waivers, variances, or changes, but will not in itself constitute authority to violate any directive, policy, standard, or other regulatory guidance.

4.5. Incorporate a systematic decision-making tool, as explained in AFPAM 91-215, *Operational Risk Management*, consisting of the following steps: Identify the Hazards, Assess the Risk, Analyze Risk Control Measures, Make Control Decisions, Implement Risk Controls, and Supervise and Review.

4.6. Ensure ORM applications are documented.

Section B—Program Management

5. Responsibilities. The following responsibilities are in addition to those defined by AFI 90-901.

5.1. Director of Safety (HQ USAFE/SE), will appoint an ORM Program Manager to oversee the integration and sustainment of ORM throughout the USAFE AOR.

5.2. The USAFE ORM Program Manager will interact with the Air Force ORM Program Manager to ensure continuity with the Air Force ORM program. Additionally, the USAFE Program Manager will:

5.2.1. Develop command-specific ORM policy, requirements, and overall strategy necessary to facilitate integration and sustainment of ORM within the command.

5.2.2. Represent USAFE on the Air Force ORM Working Group.

5.2.3. Conduct staff assistance visits as necessary to ensure viable programs within all USAFE organizations.

5.2.4. Ensure changes are made to USAFE ORM program guidance as necessary to sustain the USAFE ORM program.

5.2.5. Provide ORM tools and education & training materials (via the Internet), guidance, and other initiatives necessary to support ORM integration and sustainment.

5.3. HQ Staff Directors, NAFs, wing, and squadron commanders will:

5.3.1. Incorporate ORM, to the extent that it is possible and mission supportive, in strategic planning, fiscal guidance, and training and education programs.

5.3.2. Provide overall leadership and management of the USAFE ORM Program within their areas of responsibility.

5.3.3. Serve as principle advocates for ORM and as key decision-makers in allocating assets to control risk and/or accept it when mission benefits dictate. Consistent with Chief of Staff of the Air Force (CSAF) direction on institutionalizing ORM processes, all USAFE organizations are responsible for implementing ORM processes within their activities.

5.3.4. To ensure visible command support for the ORM program, commanders at all levels should ensure an ORM Advisor is appointed to oversee all ORM activities.

5.4. ORM Advisors will:

5.4.1. Ensure sufficient functional representation to assure all assigned personnel are included in the ORM program. (**NOTE:** The role of the advisor is one of instructor, facilitator, and champion supporting organizational ORM process implementation.)

5.4.2. Complete the Applications and Integration course training either through the AFSC sponsored class or via a locally presented course.

5.4.3. Provide ORM tools, education & training, guidance, and other initiatives necessary to support ORM integration and sustainment specific to their organizations and functional areas.

5.4.4. Establish procedures to ensure all personnel receive ORM education and training tailored to their needs, with additional training when warranted by mission changes. Review all training programs periodically to assure ORM training is tailored to the needs of unit personnel.

5.4.5. Monitor use of ORM process throughout the unit to ensure sustainment of active programs. Ensure the unit conducts an annual ORM exercise. This may be in conjunction with a unit safety or training day.

5.4.6. As appropriate, provide the HQ USAFE ORM Program Manager with successful ORM application stories to be used as in crosstell purposes as lessons learned as well as articles for publication in the USAFESP 91-1, *AIR SCOOP,* magazine.

5.5. Section supervisors will:

5.5.1. Use this instruction to implement a section's ORM plan. This plan should consist of, as a minimum, the section's education and training plan, policy requirements, and an integration plan. The integration plan should detail how new members are trained and briefed on the ORM processes in the section. Recommend each work center assess unique operations and make decisions based on the assessment. Other areas of consideration include development of a section hazard table identifying hazards associated with duty and contingency tasks; update the table as conditions change.

5.5.2. Apply ORM to all unique or one-time tasks (e.g., moving to a new building). Involve as many personnel as possible to participate in the task and add to the section hazard table.

6. Training.

6.1. USAFE training is divided into five areas designed to ensure flexibility so units may tailor the training to meet the unique needs of their mission and personnel assigned. The following is a description of the training available to the command:

6.1.1. The "Applications and Integration" course as taught by the Transportation Safety Institute (TSI) or locally using TSI course materials and AFPAM 91-215. This is the highest level of training and completion qualifies an individual to serve as an instructor, facilitator, or advisor for all organizational ORM activities and training. Materials are available on the USAFE Safety web page at: https://wwwmil.usafe.af.mil/direct/se/index.htm.

6.1.2. USAFE Essentials Course Training is a one-day course designed specifically for USAFE units. The material has been tailored to the supervisory and worker level, with sufficient detail to enable application of ORM processes and unit integration into day-to-day activities. This course is designed to be taught by the ORM advisor. Materials are available on the USAFE Safety web page at: https://wwwmil.usafe.af.mil/direct/se/index.htm.

6.1.3. Awareness Training is the basic level of training consisting of an overview of ORM processes and accompanied by simplified workplace examples applicable to the employee's job. Typically provided by the supervisor, this training is locally developed and designed to provide non-supervisory personnel an exposure to ORM without the level of detail provided to supervisors.

6.1.4. Executive Level Training is provided to senior executives, typically commanders, deputies, and branch chiefs at O-6/GS-15 or above. This training provides an understanding of the processes in use within their organizations, the benefits and limitations of current processes, and the opportunities afforded by enhanced risk management processes. Senior leaders are not expected to train others in ORM processes; however, showing support for and encouraging ORM efforts is expected.

6.1.5. Introductory Training is conducted within 60 days of a member's assignment to a unit and included as part of in-processing. A computer based training (CBT) is available on the USAFE Safety web page specifically designed to meet this requirement. The preferred method of completion is for units to download the CBT onto a local server; newcomers will then complete. This reduces the burden on the Ramstein AB server.

6.2. Organizations may substitute locally conducted introductory training in place of the Air Force Specialty Code (AFSC)-mandated (CSAF/CVA MSG 011849Z 97) CBT course, provided such training includes concepts covered in the CBT. This training may be combined with Awareness Training when feasible.

6.3. All ORM training should be documented to reduce duplication of training upon a permanent change of station (PCS) or permanent change of assignment (PCA). Traditional forms of documentation include, but are not limited to, members' AF Form 623, **Individual Training Record**, Core Automated Maintenance System (CAMS), or a computer-generated product. Before you create computer-generated forms, contact USAFE Forms Management (DSN 480-5390) for assistance with

forms analysis, probable design in the current and approved Air Force forms software, and management in USAFE forms' inventory (see AFI 33-360, Volume 2, *Forms Management Program*).

DENNIS L. CHERRY,   Colonel, USAF
Director of Safety

Attachment 1

GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION

References

AFPD 90-9, *Operational Risk Management*

AFI 90-901, *Operational Risk Management*

AFI 33-360 Volume 2, *Forms Management Program*

AFPAM 91-215, *Operational Risk Management*

USAFESP 91-1, *AIR SCOOP*

Abbreviations and Acronyms

AFI—Air Force Instruction

AFPD—Air Force Policy Directive

AFSC—Air Force Safety Center

AOR—Area of responsibility

CAMS—Core Automated Maintenance System

CBT—Computer Based Training

CSAF—Chief of Staff of the Air Force

DoD—Department of Defense

DRU—Direct Reporting Unit

FOA—Field Operating Agency

HQ—Headquarters

MAJCOM—Major Command

NAF—Numbered Air Force

ORM—Operational Risk Management

PCA—Permanent Change of Assignment

PCS—Permanent Change of Station

TSI—Transportation Safety Institute

USAF—United States Air Force

USAFE—United States Air Forces in Europe

USAFECI—United States Air Forces in Europe Command Instruction

WWW—World Wide Web

Terms

Hazard—A condition with the potential to cause personal injury or death, property damage, or mission degradation.

Operational Risk Management (ORM)—The systematic process of identifying hazards, assessing risk, analyzing risk control options and measures, making control decisions, implementing control decisions, accepting residual risks, and supervising/reviewing the activity for effectiveness. AFPAM 91-215, *Operational Risk Management*, describes the basics of ORM.

Risk—Expected loss from a hazard, calculated using the probability and severity of loss over a given period of time (exposure).

Risk Assessment—The process of detecting hazards and their causes, and systematically assessing the associated risks.

Section Supervisor—Person responsible for the day-to-day activities of an Air Force organizational element.

ORM Advisor—Organization level ORM focal point that serves as advisor to commanders, managers, supervisors, and other personnel on ORM policy, application, and training.

Attachment 2

UNIT ADVISOR CHECKLIST

A2.1. Print the following information on AF Form 2519, **All Purpose Checklist**, to create the "Unit Advisor Checklist:"

1. AFI 90-901, para 3.4. Is there evidence the unit commander is an advocate for the unit ORM program? Look for minutes of meetings, policy letters, and evidence of unit ORM activities not possible without unit commander support.

2. AFI 90-901, para 3.4. Is integration of ORM into planning at all levels supported by the Commander? Is ORM briefed and/or mandated for all plans, exercises, deployments, etc? As a minimum, these should be evident in staff meeting minutes. Copies of briefings containing ORM material should be available for review. Operational and support plans should identify maximum-performance with minimum-risk options. Also, task planning within functional areas should be accomplished using ORM principles.

3. AFI 90-901, para 2.1/USAFE CI 90-901, para 5.4.4. Is implementation of ORM evident throughout the unit?

   a. Can the ORM Advisor show ORM implementation for the organization in all functional areas down to shop level? Look for real-world applications data, risk control charts showing risk trends for mission-essential processes, and training data.

   b. If there are shortfalls in implementation, is there evidence the commander has been informed of these shortfalls? Look for items such as meeting minutes, policy letters, databases, other records of activities.

4. AFI 90-901, para 3.4. Risk Decision Making.

   a. Are risk decisions made at the appropriate level? Look for trends of unreasonably elevated or delegated decision making.

   b. Is there a published unit policy for elevating risk decisions? Look in the commander's ORM policy letter. Is the unit policy readily available to all assigned personnel? Look for ORM policy in operating instructions, local supplements, etc.

5. USAFE CI 90-901, para 5.3.3. Has an ORM Advisor been appointed? As a minimum, documentation should include a letter of appointment signed by the commander. The advisor should be at least a SSgt with 12 months retainability at time of appointment. If retainability is less than 12 months verify steps are being taken to train a replacement.

6. USAFE CI 90-901, para 5.4.2. Has the ORM Advisor attended the ORM Applications and Integration Course? A copy of the training certificate from the Transportation Safety Institute (TSI) or a locally developed course certificate is acceptable. A memorandum for record (MFR) or an e-mail identifying a request for training or a confirmed class date for an advisor who has not yet completed training will also meet this requirement.

7. AFI 90-901, para 5.10.5/USAFE CI 90-901, para 5.6.1. Is USAFE ORM Introductory Training being provided to personnel?

   a. What percentage of unit personnel has been trained? Look for rates greater than 90 percent. Training may have been provided as a briefing, classroom instruction, or computer based.

   b. Does the organization have a process for training new personnel within 60 days of assignment? Review the in-processing checklist to verify ORM Introductory Training is included as part of in-processing.

8. AFI 90-901, para 2.3, 5.10.5/USAFE CI 90-901, para 5.6.1. Have supervisory personnel participated in the USAFE Essentials Course?

   a. **What percentage of unit supervisory personnel has been trained?** Look for rates greater than 90 percent. Training may have been provided as a briefing, classroom instruction, or computer based.

   b. What percentage of unit worker-level personnel has been trained? Rates should reflect the maximum amount of personnel as possible. However, plans should include ensuring all receive the training eventually.

9. AFI 90-901, para 4.1/USAFE CI 90-901, para 5.4.4. Is implementation of ORM in all functional areas evident? Evidence of ORM implementation in all functional areas, such as risk control charts showing risk trends for work center tasks.

10. AFI 90-901, para 2.3. Is involvement of all personnel in ORM activities evident? Look for personnel participation from all areas. ORM should not be centrally managed; rather decentralization is important to allow unique work centers the flexibility to meet their mission needs. Informal interviews with unit personnel should provide enough data to indicate involvement. Review any documented ORM applications.

11. AFPD 90-9, para 5.7. Is there evidence that all personnel are applying ORM principles, concepts, and techniques to assess the risks associated with their daily activities, both on and off duty? A majority of personnel asked should provide anecdotal information regarding personal application or ORM principles.

12. AFI 90-901, para 3.4. Do supervisors ensure individuals apply ORM to day-to-day operations or tasks? Meeting minutes, checklists, job aids, training outlines or plans, visual aids, or any other evidence supporting ORM activities.

13. AFI 90-901, para 2.3. Can personnel assigned identify the ORM 6-step process? Interview a random sampling to identify their familiarization with ORM. Wallet-cards, posters or any other aid is acceptable. Conceptually accurate responses are preferred over word-for-word recitations of text lacking in understanding of the process.